RFP-10-9
SECTION ONE
GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Indiana Professional Licensing Agency, requires a software system to collect and securely maintain controlled substance prescription information belonging to schedules 2-5, and, in accordance with conditions set forth by statue (IC 35-48-7), makes this information available to prescribers, dispensers and law enforcement users via an online software application. It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the IDOA website (http://www.IN.gov/idoa) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

Development Environment	A physical environment where developers and computer programmers create processes and methodologies for the development of software.
Enhancement(s)	Computer program modifications or additions, other than error corrections, that may be integrated with the licensed programs or offered separately by Consultant and that improve its function, add new functions, or substantially enhance its performance.
Error	A defect in the licensed program which can, with reasonable effort, be recreated using a supported operating environment, that prevents, said Program from functioning in substantial conformity with the published specifications pertaining thereto.
Error Corrections	Computer software changes to correct an error in the licensed program that is in a form that allows its application to the said Program to establish material conformity with the IC 35-48-7 requirements pertaining thereto.
FTE	Full Time Equivalent. The State defines FTE as a measurement of an employee's productivity on a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE.

IAC	The Indiana Administrative Code.
IC	The Indiana Code.
IJIS Institute	Integrated Justice Information Systems Institute
Implementation	The successful implementation of Prescription Monitoring Program at the Indiana Government Center as specified in the contract resulting from this RFP.
INSPECT	Indiana Scheduled Prescription Electronic Collection and Tracking
Installation	The delivery and physical setup of products or services requested in this RFP.
IPLA	Indiana Professional Licensing Agency
NABP	National Association of Boards of Pharmacy
NASPER	National All Schedules Prescription Electronic Reporting
NCPDP	National Council for Prescription Drug Programs
Normal Working Hours	The hours between 8:00 A.M. and 4:00 P.M. on the days Monday through Friday of each week of the calendar year, excluding regularly scheduled State holidays.
Off-The-Shelf Software Solution	(OTS) refers to a prepackaged customizable software application that is ready-made and available for sale.
Other Governmental Body	An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following: (1) The judicial branch. (2) The legislative branch. (3) A political subdivision (includes towns, cities, local governments, etc.) (4) A state educational institution (including charter schools)
PMP	Prescription Monitoring Program
Production Environment	A physical environment where an application resides that hosts real data (as opposed to test data) and is available on a publicly accessible network.
Products	Tangible goods or manufactured items as specified in this RFP.

Proposal	An offer as defined in IC 5-22-2-17.
Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the Respondent who will be ultimately responsible for performance of the contract.
Services	Work to be performed as specified in this RFP.
State	The State of Indiana
State Agency	As defined in IC 4-13-1, "state agency" means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government.
Test Environment	A physical environment where testing of newly developed software can be tested to determine whether all transactions flow properly within an application. This environment is also used for quality assurance.
Vendor	Any successful Respondent selected as a result of the procurement process to deliver the products or services requested by this RFP.

1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select a vendor that can satisfy the State's need for the development and maintenance of a software system to collect and securely maintain controlled substance prescription information belonging to schedules 2-5, and, in accordance with conditions set forth by statute (IC 35-48-7), make this information available to prescribers, dispensers and law enforcement users via an online software application. It is the intent of the Indiana Professional Licensing Agency (IPLA) to contract with a vendor that provides quality professional services for the Indiana Scheduled Prescription Electronic Collection and Tracking (INSPECT) Program.

The intent of INSPECT is to provide law enforcement, practitioners, and other health providers with information that both improves the quality of patient care and offers a means for spotting "doctor shopping" activity.

1.4 SUMMARY SCOPE OF WORK

IPLA's current vendor contract will expire March 23, 2010.

The vendor shall provide a commercial, off-the-shelf software solution customizable to meet the State's needs. The ultimate goal of the State is to administer the contract in a conducive, cooperative manner and to complete the work on budget and on time with minimum

inconvenience. The project is divided into five identifiable segments where further capability is needed.

• **Project Overview – Key Functionalities and Primary Users** The INSPECT program collects controlled substance prescription information from over 1,700 pharmacies licensed to conduct business in Indiana, and in accordance with state law, provides 24/7 web access to this information to over 7,000 users divided into the following user groups: (a) Practitioner-Dispensers (e.g. licensed pharmacists); (b) Prescribers (e.g. physicians and nurse practitioners); (c) Law Enforcement (e.g. DEA, Attorney General's Office, State Boards of Medicine); and (d) INSPECT Administrators/Management (e.g. INSPECT and Indiana Professional Licensing Agency Staff). Each user group has a distinct set of needs as it relates to their interaction with the INSPECT program's online software application. All services and functionalities provided to users by INSPECT must be delivered in accordance with all relevant laws, policies, procedures, and software/hardware requirements established by the State of Indiana.

• **Segment 1 – General** To ensure that the software will operate properly within its environment, the vendor must provide regular support and maintenance. In addition, the vendor shall provide maintenance on a yearly basis. Maintenance shall consist of yearly updates to the tables and if necessary, rolling data from one year to the next, archiving previous year's data and any other upgrades and improvements necessary to ensure that software continues to meet INSPECT standards. The maintenance shall also apply to any programming problems. The State will provide dedicated hosting for INSPECT's five servers.

• **Segment 2 – Upload Account Features** Per Indiana statute, all pharmacies are required to transmit controlled substance treatment information to the INSPECT Program not more than (7) days after the date on which a controlled substance is dispensed to a patient (IC 35-48-7-8.1(2)).

To assist end-users in meeting the state's reporting requirements; the software shall provide an electronic feature allowing pharmacies (dispensers) to meet the legal reporting requirement by uploading new data by accessing the system through a unique Dispenser Account. The system must also support multiple dispenser submissions in a single file for chains or other collective reporting entities that centrally report for more than one facility (i.e. there must be a way for corporate pharmacy chains to report for multiple pharmacy locations in a single submission to the system).

To ensure that INSPECT's data integrity is accurate and is consistently maintained, Pharmacies must be permitted to make corrections to errant records online. INSPECT and the end-user must have the ability to view, identify and interpret error notifications.

• **Segment 3 – User Account Features** To improve the security of the PMP system, administrative rights for user accounts shall be restricted. The five user account types consist of: Administrator Account (INSPECT Staff); Upload Account (Pharmacies); Dispenser Account (Pharmacists); Prescriber Account (Physicians, Nurse Practitioners, etc); and Law Enforcement (Attorney General, Prosecutors, etc).

Dispenser account privileges will be restricted to conducting patient searches only. To complete

a search on the system, a dispenser must indicate that they are accessing INSPECT data only to assist in the provision of health treatment for a specific patient in question.

Upload Accounts privileges will be restricted to performing uploads and correcting errant data. Upload account categories consist of: Retail Pharmacies, Mass Data Pharmacies (Pharmacy Chains that report for all stores through a single account), Dispensing Physicians, Type II (Hospital) Pharmacies.

Prescriber account privileges will be restricted to conducting patient searches. Prescribers will also have the ability to create up to three delegate accounts for physician assistants under a primary (or supervisor) prescriber account. Similar to dispenser accounts, the Prescriber Account should allow for a sub-grouping of prescribers in terms of licensure type (e.g. physicians, physician assistants, nurse practitioners, dentists, etc). A Dispenser (or Pharmacist) Account will constitute its own unique type of account, distinct from a regular upload account in that it will permit the user to conduct patient searches similar to a Prescriber Account.

Law Enforcement account privileges will be restricted to conducting practioner and patient searches. The system should allow for distinctions to be made between Law Enforcement users. For instance, a sub-grouping based on whether a LE user is a prosecutor, federal/state/local officer, investigator, intelligence professional, licensing board authority, or probation/parole officer.

Only administrator/management account holders will receive higher privileges that combine all available features, as noted above to navigate within the PMP system.

• **Segment 4 – Administrator Account Features** The INSPECT management/administrator account responsibilities will include monitoring user activities to ensure system productivity, storage and the adherence to INSPECT's usage policy. In addition, the management account must allow staff to issue/change user account passwords in the event the user is unable to accomplish the task through an automatic password reset feature.

The PMP system shall include a Password Management System (PMS) that contains user names and passwords.

If the end-user attempts to log on to the PMP system and the user name and associated passwords match an entry within PMS, a sequence of events takes place ultimately allowing that person access to the system. If the user name or passwords do not properly match any entry in the PMS, an error message is returned requesting that the correct information be entered.

The purpose for the PMS will be to ensure that only practitioners who are deemed eligible and/or their authorized agent(s) are accessing the PMP system. In addition, having a password manager within the PMP environment makes it difficult for non-eligible persons to access the data. It can also provide some measure of security against online hackers.

The Management/Administrator account shall have the ability to monitor, alter and delete user accounts as well as, note and view reasons for registration application denial. Regarding

uploaded files, management account users shall be able to view the total number of errant records, by way of an online analytical processing feature. The analytical processing feature will also generate a report of delinquent pharmacies and pharmacies that have not dispensed controlled substances for a given time period.

• **Segment 5 – Interoperability Features** The issue of multi-state doctor shopping has been identified as a serious national issue, and IJIS (Integrated Justice Information Systems) recognizes that the means for state and local law enforcement and public health agencies to address the problem is currently not available on a national basis. INSPECT agrees with this assessment and anticipates participating in the interstate PMP information exchange project (PMIX).

Therefore, it is imperative for the PMP system to have the capability of supporting the PMIX Hub Information Exchange Document (IEPD).

1.5 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP
Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal Evaluation Criteria	This sections discusses the evaluation criteria to be used to evaluate respodents' proposals
Attachment A	M/WBE Participation Plan Form
Attachment B	Sample Contract
Attachment C	Indiana Economic Impact Form
Attachment D	AT Compliance Evaluation Form

1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of **3:00 p.m. Eastern Time** on **September 3, 2009.** Questions/Inquiries may be submitted via fax **(317-234-1281)** or email rfp@idoa.IN.gov and must be received by Procurement Division by the time and date indicated above.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.23. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff member of Indiana Professional Licensing Agency or members of the INSPECT Program. Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3:00 p.m. Eastern Time** on **September 25, 2009**. Each Respondent must submit **one original hard-copy** (marked "Original") and **one original CD-ROM (marked "Original") and two (2)** complete copies **on CD-ROM** of the proposal, including the Transmittal Letter and other related documentation as required in this RFP. The **original** CD-ROM will be considered the official response in evaluating responses for scoring and protest resolution**. The respondent's proposal response on this CD may be posted on the IDOA website, (**http://www.in.gov/idoa/3790.htm**) if recommended for selection.** Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

James Osborne
Indiana Department of Administration
Procurement Division
402 West Washington Street, Room W478
Indianapolis, IN 46204

If you hand-deliver solicitation responses:
To facilitate weapons restrictions at Indiana Government Center North and Indiana Government Center South, as of **July 21, 2008**, the public must enter IGC buildings through a designated public entrance. The public entrance to Indiana Government Center South is located at 302 W. Washington St. (the eastern-most Washington St. entrance). This entrance will be equipped with metal detectors and screening devices monitored by Indiana State Police Capitol Police.

Passing through the public entrance may take some time. Please be sure to take this information into consideration if your company plans to submit a solicitation response in person.

If you ship or mail solicitation responses: United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

All proposal packages must be clearly marked with the RFP number, due date, and time due. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

All proposals submitted to the State should be double-sided and printed on 30% post-consumer recycled content paper or tree-free paper. When possible, soy ink should be used.

1.8 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on **September 1, 2009 from 10:00 a.m. ET – noon ET in the Indiana Government Center South Basement, Room W064, 402 West Washington Street, Indianapolis, IN 46204.** At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in writing, also is not binding on the State.

1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format described in Section 1.6 and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered.

1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one or more Respondent(s) to fulfill the requirements in this RFP.

The term of the contract shall be for a period of one (1) year from the date of contract execution. There may be three (3) one year renewals for a total of four (4) years at the State's option.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq*., and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must place all confidential documents (including the requisite number of copies) in a sealed envelope clearly marked "Confidential" and must indicate in the Transmittal Letter and on the outside of that envelope that confidential materials are included. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

1.16 TAXES

Proposals should not include any tax from which the State is exempt.

1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to www.in.gov/idoa and click on "Procurement" then "Bidding on State Contracts then Bidder Registration" to register.

1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and

limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to setoff such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, it has been determined that there is a reasonable expectation of minority and woman business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore a contract goal of 8% for Minority Business Enterprises and 8% for Woman Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5.

Failure to meet these requirements will affect the evaluation of your proposal.

1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITTMENT

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a MWBE Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at http://www.in.gov/idoa/2867.htm. If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms
- Each firm may only serve as once classification – MBE or WBE
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- Must serve a commercially useful function. The firm must serve a value-added purpose on the engagement.
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at http://www.in.gov/idoa/2867.htm
- Must be used to provide the goods or services specific to the contract
- National Corporate Diversity Plans are generally not acceptable

MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project and approximate date the subcontractor will perform work on this contract. The State will deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State's M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women's Business Enterprises Division at (317) 232-3061 or mwbe@idoa.in.gov.

1.22 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq*. and 47 U.S.C. 225).

1.23 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team's findings.

Key RFP Dates:

Activity	Date
Issue of RFP	**August 20, 2009**
Pre-Proposal Conference	**September 1, 2009**
Deadline to Submit Written Questions	**September 3, 2009**
Response to Written Questions/RFP Amendments	**September 11, 2009**
Submission of Proposals	**September 25, 2009**
The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.	
Proposal Evaluation	**TBD**
Proposal Discussions/Clarifications (if necessary)	**TBD**
Oral Presentations (if necessary)	**TBD**
Best and Final Offers (if necessary)	**TBD**
Contract Award	**December 16, 2009**

SECTION TWO
PROPOSAL PREPARATION INSTRUCTIONS

2.l GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent's proposal.
- The Transmittal Letter must be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below.

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Agreement with Requirement in listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 2.4 of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.**

2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.5 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as "optional."

2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

2.3.5 Contract Terms/Clauses

A sample contract that the state expects to execute with the successful Respondent(s) is provided in Attachment B. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are highly desirable. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment B.

In your Transmittal Letter please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause. If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract terms are as follows:

- Authority to Bind Contractor
- Duties of Contractor, Rate of Pay, and Term of Contract
- Compliance with Laws
- Drug-free Workplace Provision and Certification
- Funding Cancellation
- Indemnification
- Governing Laws
- Non-discrimination clause
- Payments
- Penalties/Interest/Attorney's Fees

- Non-collusion and Acceptance
- Information Technology

Any or all portions of this RFP and any or all portions of the Respondents response may be incorporated as part of the final contract

2.3.6 References

The Respondent must include a list of at least three (3) clients for whom the Respondent has provided products and/or services that are the same or similar to those products and/or services requested in this RFP. Information provided should include the name, address, and telephone number of the client facility and the name, title, and phone/fax numbers of a person who may be contacted for further information.

2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at http://www.in.gov/idoa/2742.htm .

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to http://www.in.gov/idoa/2742.htm. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database.

To receive an award, you must be registered as a bidder.

Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, aredding@idoa.in.gov, or you may reach her by phone at (317) 234-3542.

2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or

in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority or Women Owned Business under IC 4-13-16.5-1. See Section 1.21 and Attachment A for Minority and Women Business information.

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State.

Please submit a clear and concise proposal that addresses the requirements as listed. Supplemental information is acceptable, but the State does not desire elaborate brochures or extraneous materials.

Attachment D, AT Compliance Evaluation Form, must be completed and included with your proposal.

RFP Mandatory Requirement Checklist

(Eligible vendors must meet the minimum mandatory requirements listed below in order for proposals to be considered.)

Business Requirements:

1. The vendor shall provide a commercial, off-the-shelf software solution customizable to meet the State's needs.

2. The vendor shall be responsible for providing licenses to the Indiana Professional Licensing Agency (IPLA) and the Information Office of Technology (IOT) for use of software components and modules that work in conjunction with the primary software, as well as for any other critical feature of the PMP system.

3. All services and functionalities provided to INSPECT must be delivered in accordance with all pertinent laws, policies, procedures, and software/hardware requirements set forth by the State of Indiana.

4. The vendor shall conform to the security and authentication requirements laid out in the 2005 National All Schedules Prescription Electronic Reporting (NASPER) Act and the State's Security Policy.

5. The vendor shall provide maintenance on an ongoing basis for the duration of the contract. This maintenance shall consist of but not limited to yearly updates to the tables,

and if necessary, rolling data from one year to the next, archiving previous year's data and any other upgrades and improvements necessary to ensure that software continues to meet INSPECT standards. The maintenance shall also apply to any programming problems.

6. The vendor shall provide INSPECT with reasonable response time and resolutions as it relates to program and application technical problems.

7. The vendor shall provide explanations and instructions regarding error correction, formatting requirements, and common potential errors.

8. The vendor shall make available to INSPECT reasonable telephone and e-mail consultations to resolve support requests and any other issues that arise concerning licensed software and equipment.

9. The selected vendor shall provide training sessions to INSPECT and other support staff.

Software Requirements:

1. The system shall be capable of collecting controlled substance prescription information (schedules 2-5) and other relevant patient information (i.e. payment info).

2. The vendor(s) software application shall have the option of operating on the following platforms: SQL 2005 or 2008 (nothing below 2005); JAVA Tomcat or .Net

3. The vendor shall provide the following environments for the PMP system:

   Test Environment: A physical environment where testing of newly developed software can be tested to determine whether all transactions flow properly within an application. This environment is also used for quality assurance.

   Production Environment: A physical environment where an application resides that hosts real data (as opposed to test data) and is available on a publicly accessible network.

4. The vendor shall provide 24/7 web access to the PMP system.

5. The system shall store Rx Patient History Reports for 90 days; and all records containing medical data shall be stored for seven years.

6. The vendor shall be responsible for archiving, migrating and converting data from the current data tables to the new system. INSPECT patient records must be submitted in a standardized data format: ASAP R.5/95 Telecommunications Format.

7. The vendor shall deliver a robust search solution within the PMP system geared towards the support of data quality. It is imperative that the PMP system have some type of search mechanism that will accurately group related data (such as, first and last name variations, date-of-births, and addresses) and exclude irrelevant data, improving overall search

returns. There are cases when patients share identical or similar information, (e.g. father and son, twins, etc). As a result, it is important that the system have the capability to accurately make a distinction between similar, albeit still unique patients, and ensure these inquiries are processed accurately.

8. The system shall support the following submission methods:
   - Single Dispenser electronic batch files via the INSPECT web portal.
   - Mass Data batch files submissions—the system must support multiple dispenser submissions (uploads) in a single joint file for chains or other collective reporting entities that centrally report for more than one facility via the INSPECT web portal.
   - Computer diskettes via postal mail (Note: mailed diskettes are manually processed by INSPECT staff).
   - Automatic extraction from claims network transactions.
   - Online Reporting via web form.
   - The system shall have the ability to perform daily real time uploads data entry.

9. The PMP system shall contain an online automated registration form for new users to complete and request access to the program.

10. All variants of the registration form shall contain various profile fields as specified in the technical section.

11. The system shall include a password management system to ensure security and protection of data. The password system shall allow Administrators easy access to all registered account usernames and passwords (see NASPER Requirements).

12. The system must provide at a minimum on demand reports that summarize the following information:
    - The controlled substance recipient's name.
    - The controlled substance recipient's or the recipient representative's identification
    - The controlled substance recipient's date of birth.
    - The national drug code number of the controlled substance dispensed.
    - The date the controlled substance is dispensed.
    - The quantity of the controlled substance dispensed.
    - The number of days of supply dispensed.
    - The dispenser's NCPDP/NABP number (or number or phrase designated by the INSPECT program).
    - The prescribers' United States Drug Enforcement Agency registration number.

Stakeholder/User Requirements:

1. The system shall be capable of establishing user account categories:
   - Dispensers (e.g. licensed pharmacists)
   - Prescribers (e.g. physicians and nurse practitioners)
   - Law Enforcement (e.g. DEA, Attorney General's Office)
   - Licensing Boards (e.g. Indiana Board of Nursing, Pharmacy, etc.)

2. The system shall be capable of establishing upload accounts to upload INSPECT data.

3. To ensure the security of the PMP system, Administrators shall be able to restrict users' access and functionalities based on user account categories and subcategories.

4. The system shall provide a disclaimer and policy language that all users must acknowledge before proceeding with the login sequence into the PMP system.

5. The system shall provide a disclaimer and policy language that all users must acknowledge at the point of registering with the INSPECT program.

6. The system shall provide a method for account users when searching on the system to indicate that they are accessing INSPECT data only to assist in the provision of health treatment for a specific patient or a particular case/investigation for law enforcement.

7. The system shall have an automated password reset module, which will allow end users to reset their passwords by answering a set of security questions.

8. The system shall provide an online interactive web form, through which an upload account user can report that they have not dispensed any controlled substances within a given reporting period. The system shall be capable of providing a result summary to the Administrator.

9. Upload account users shall be able to make corrections to errant records online.

10. Administrator account users shall have the ability to monitor and/or audit a patient's record.

11. The system shall be capable of supporting both automated and manual processing of user-initiated requests for prescription information, whether the subjects are patients or prescribers.

12. In the event a request cannot be automatically fulfilled, the system shall provide a method to ensure that the request is processed.

Analytic Requirements:

1. The system shall be capable of generating reports available for review in a printable/viewable format.

Interoperability Requirements:

1. The system shall be capable of supporting IJIS PMP Information Exchange (PMIX) Hub Information Exchange Package Document (IEPD). This technology shall allow Indiana to share data on a national level.

Preferred Items Checklist

(The following items add value to the PMP system and, while not mandatory, will receive preferable consideration during evaluation.)

Business Requirements:

1. The system shall have the capability of allowing Administrators to submit mass communication messages to users based on region (county and zip code), organization, last/first name, and user job type.

Stakeholder/User Requirements:

1. The system shall allow for distinctions to be made among Law Enforcement users (i.e. prosecutor, federal/state/local officer, and investigator, intelligence professionals, licensing board authority or probation/parole officer).

2. The system shall have the capability of allowing Administrators to submit mass communication messages to users based on region (county and zip code), organization, last/first name, and user job type.

3. Administrator account users shall have the ability to produce a PDF report of a previously uploaded file for an upload account which includes the: Upload Date, File Name, NABP Number, Total Error Count, and Status.

4. Prescriber account users shall have the ability to perform prescriber searches on the DEA number associated with their Prescriber Account itself (i.e. Prescriber Accountholders can look up themselves. They will not be permitted to look at the prescribing activity of other prescribers).

Analytic Requirements:

1. The system shall be capable of generating reports allowing prescribers to view a summary of all patients who have received prescriptions under the Prescriber Accountholder's own DEA number for a set time period.

2. The system shall generate reports reflecting pharmacies that have reported for specific periods of time, as well as pharmacies that are delinquent in reporting.

CATEGORY OUTLINE:

Project Overview – Key Functionalities and Primary Users

Segment 1 GENERAL

Discussion of training, support, customization and maintenance provision.

1.1 Service Delivery

1.2 Implementation/Support

Segment 2 **UPLOAD ACCOUNT FEATURES**

Discussion of program's uploading features and how these features will satisfy the requirements.

2.1 File Submissions
2.2 Upload Account Sub-types
2.3 Upload Process and Error Correction
2.4 Zero Reporting

Segment 3 **USER ACCOUNT FEATURES**

Discussion of user functionalities for each of INSPECT's primary user groups.

3.1 Account Restrictions/Functionalities
3.2 Rx History Reports
3.3 Search Features
3.4 Analytical Reporting Features
3.5 Inter-Account User Communication
3.6 New User Account Creation
3.7 User-Initiated Password Reset

Segment 4 **ADMINISTRATOR ACCOUNT FEATURES**

Discussion of management functionalities.

4.1 Compliance Monitoring
4.2 Password Management
4.3 Review and Approval of New User Registrations
4.4 Communication with Users and Uploaders

Segment 5 **INTEROPERABILITY FEATURES**

Discussion of interoperability functionalities.

5.1 Interoperability
5.2 Compatibility with PMIX Hub

STATE TECHNICAL COMPLIANCE INFORMATION

I. Architecture
II. Hardware/Software Requirements
III. State Security Requirements
IV. Risk Mitigation

IMPLEMENTATION INFORMATION

I. Project Plan
II. Deliverables
III. State Responsibilities during Implementation
IV. Change Control Process

COMPETENCY INFORMATION

I. Description of Firm's Experience (Resume of Key Staff)

SOW/SPECIFICATIONS:

The Indiana Professional Licensing Agency is seeking an off-the-shelf software application for the Indiana Prescription Monitoring Program, known as INSPECT. The intent of the software is to enable 7,000+ active users to have 24/7 web access to patient prescription information. The project is divided into five distinct segments.

Project Overview – Key Functionalities and Primary Users:

The INSPECT program currently collects controlled substance prescription information from over 1,700 pharmacies licensed to conduct business in Indiana, and in accordance with state law, provides 24/7 web access to this information to over 7,000 users divided into the following user groups:

a) Dispensers (e.g. licensed pharmacists)
b) Prescribers (e.g. physicians and nurse practitioners)
c) Law Enforcement (e.g. DEA, Attorney General's Office)
d) Licensing Boards (e.g. Indiana Board of Nursing, Pharmacy, etc.)

Beyond the conventional base of users, there are two other distinct access categories: Uploaders (e.g. pharmacies required by law to report all controlled substance information to INSPECT) and Administrators (e.g. INSPECT and Indiana Professional Licensing Agency Staff). Each access category—and to some extent, subgroups within each dominant access category—have distinct needs as it relates to their interaction with the software application.

SEGMENT 1: GENERAL

1.1 Service Delivery

- The vendor shall be responsible for providing licenses to INSPECT for use of all software, software components and modules that work in conjunction with the primary software, as well as for any other critical feature of the PMP system.

- The vendor shall provide three environments for the PMP system:

  Development Environment: A physical environment where developers and computer programmers create processes and methodologies for the development of software.

  Test Environment**:** A physical environment where testing of newly developed software can be tested to determine whether all transactions flow properly within an application. This environment is also used for quality assurance.

  Production Environment: A physical environment where an application resides that hosts real data (as opposed to test data) and is available on a publicly accessible network.

- The vendor shall be responsible for archiving, migrating and converting data from the current data tables to the new system. INSPECT patient records must be submitted in a standardized data format: ASAP R.5/95 Telecommunications Format.

Retention Policy: Rx Patient History Reports are stored for 90days; all records containing medical data are stored for seven years.

- The vendor must deliver a robust search solution within the PMP system geared towards the support of data quality.

- All services and functionalities provided to INSPECT must be delivered in accordance with all pertinent laws, policies, procedures, and software/hardware requirements set forth by the State of Indiana.

1.2 Implementation/Support

a) The vendor shall provide maintenance on a yearly basis. This maintenance shall consist of yearly updates to the tables, and if necessary, rolling data from one year to the next, archiving previous year's data and any other upgrades and improvements necessary to ensure that software continues to meet INSPECT standards. The maintenance shall also apply to any programming problems.

b) The State (INSPECT) shall provide dedicated hosting for INSPECT's five servers. The vendor(s) software application will have the option of operating on the following platforms: SQL 2005 or 2008 (nothing below 2005); JAVA Tomcat or .Net

c) The vendor shall make available to INSPECT reasonable telephone and e-mail consultations to resolve support requests and any other issues that arise concerning licensed software and equipment.

SEGMENT 2: UPLOAD ACCOUNT FEATURES

2.1 File Submissions

All pharmacies are required to transmit controlled substance treatment information to the INSPECT Program not more than (7) days after the date on which a controlled substance is dispensed to a patient (IC 35-48-7-8.1(2)). The system must support the following submission methods:

a) Single Dispenser electronic batch files via the INSPECT web portal.

b) Mass Data batch files submissions—the system must support multiple dispenser submissions (uploads) in a single joint file for chains or other collective reporting entities that centrally report for more than one facility via the INSPECT web portal.

c) Computer diskettes via postal mail (Note: mailed diskettes are manually processed by INSPECT staff).

d) Automatic extraction from claims network transactions.

e) Online Reporting via web form: Upload Accounts shall have the ability to enter prescription data into system by completing a form available through INSPECT's web portal.

2.2 Upload Account Sub-Types

Upload Accounts consist of the following account subcategories:

a) Retail Pharmacies

b) Mass Data Pharmacies (Pharmacy Chains that report for all stores through a single account)

c) Dispensing Physicians

d) Type II (Hospital) Pharmacies

2.3 Upload Process and Error Correction

To ensure that INSPECT's data is accurate and consistently maintained, Upload Accounts shall be permitted to make corrections to errant records online. INSPECT users shall be permitted to view, interpret and receive notification of all error correction activities.

a) The system must provide comprehendible automated e-mail error notification/directive to dispensers that submit batch files to indicate their submission validation results.

b) Upload Accounts shall be able to make corrections to errant records online.

c) The INSPECT staff (through an Administrative account) shall be able to monitor and/or audit changes made to a patient's record.

d) Upon the system promptly notifying the pharmacist and/or Type II facility of the uploading error in the program. The error message shall contain the following standard timeline for resubmission of errant records: All errant records must be corrected and resubmitted within seven (7) business days.

e) INSPECT Staff, when reviewing a previously uploaded file (or upload attempt) for a given Upload Account, must be able to produce a portable document format (PDF) report detailing the following: Upload Date, File Name, NABP Number, Total Error Count, and Status (If the records have been corrected).

f) Vendor must provide detailed file formatting requirements, an explanation of common potential errors, and instructions on how to correct these errors.

2.4 Zero Reporting

The system must provide an online interactive web form, through which an Upload Account will report that they have not dispensed any controlled substances within a given seven (7) day

reporting period. This will be known as "Zero Reporting." In addition, INSPECT Administrators shall be able to generate a report reflecting the following data: Who should be zero reporting and who has or has not zero reported.

SEGMENT 3: USER ACCOUNT FEATURES

3.1 Account Restrictions/Functionalities

To improve the security of the PMP system, user accounts shall be restricted. Only administrator/management account holders will receive privileges that combine all available software functionalities and user features.

a) The web portal login page shall contain a disclaimer and policy language that all users must acknowledge before proceeding with the login sequence into the PMP system.

b) Upload Accounts will not have the ability to conduct patient searches. Upload Account privileges will be restricted to performing uploads and correcting errant data.

c) Prescriber Accounts will not have the ability to perform uploads. Prescriber account privileges will be restricted to conducting patient searches and prescriber searches only on the DEA number associated with the Prescriber Account itself (i.e. Prescriber Accountholders can look up themselves, but they may not look at the prescribing activity of other prescribers). To complete a search on the system, a Prescriber Accountholder must check a box indicating that they are accessing INSPECT data only to assist in the provision of health treatment for a specific patient.

   The system will allow for distinctions to be made among Prescriber users. For instance, a sub-grouping based on whether a Prescriber user is a CSR-Physician, CSR-Osteopathic Physician, Nurse Practioner, Dentist, Physician Assistant, Podiatrist, Veterinarian, or scientific investigator. Additional specialty information would be helpful as well (e.g. Cardiology, Pain Management, Family Medicine, etc.).

d) Dispenser Accounts will not have the ability to perform uploads or conduct searches on prescribers. Dispenser account privileges will be restricted to conducting patient searches only. To complete a search on the system, a dispenser must check a box indicating that they are accessing INSPECT data only to assist in the provision of health treatment for a specific patient in question.

e) Law Enforcement will not have the ability to perform uploads. Law Enforcement account privileges will be restricted to conducting prescriber and patient searches only. To complete a search on the system, Law Enforcement users must cite a Case ID number and check a box indicating that an active, ongoing investigation is underway on the subject of the search.

   The system should allow for distinctions to be made among Law Enforcement users. For instance, a sub-grouping based on whether a Law Enforcement user is a prosecutor,

federal/state/local officer, investigator, intelligence professionals, licensing board authority, or probation/parole officer.

3.2 Rx History Reports

The primary service that INSPECT provides to its users are on-demand reports that summarize the following information, in accordance with (**IC 35-48-7-8.1**):

a) The controlled substance recipient's name.

b) The controlled substance recipient's or the recipient representative's identification number or the identification number or phrase designated by the INSPECT program.

c) The controlled substance recipient's date of birth.

d) The national drug code number of the controlled substance dispensed.

e) The date the controlled substance is dispensed.

f) The quantity of the controlled substance dispensed.

g) The number of days of supply dispensed.

h) The dispenser's NCPDP/NABP number.

i) The prescriber's United States Drug Enforcement Agency registration number.

j) An indication as to whether the prescription was transmitted orally or in writing.

3.3 Search Features

a) The system shall be able to support both automated and manual processing of user-initiated requests for prescription information, whether the subjects are patients or prescribers.

b) In the event a request cannot automatically be fulfilled, the system must notify the user that the request must be fulfilled manually. The request will then be in queue for INSPECT staff to review and, if warranted, fulfill manually.

c) The PMP system must contain the capability to perform multiple field queries under each relevant tab section of the application. This search technology will enable all users to access a comprehensive listing of all controlled substance records within the database fast and conveniently.

d) The system shall identify cases in which records appear to reflect the same prescription filling event, and it shall support both automated and manual record linkage of such records.

f) In many cases, patients will purposely alter their personal information in order to avoid detection from the Prescription Monitoring Program. As a result, it is imperative that the

PMP system have some type of search mechanism that will accurately group related data (such as, first and last name variations, date-of-births, and addresses) and exclude irrelevant data, improving overall search returns.

f) There are cases when patients share identical or similar information, (e.g. father and son, twins, etc). As a result, it is important that the system have the capability to accurately make a distinction between similar, albeit still unique patients, and ensure these inquiries are processed accurately.

3.4. Analytic Reporting Features

a) Reports must be reviewable in portable document format (PDF).

b) The system shall be able to generate reports analyzing patient prescription usage trends.

c) For law enforcement accounts, the system shall be able to generate reports analyzing prescribing trends.

d) The system shall be able to generate summary reports allowing prescribers to view a summary of all patients who have received prescriptions under the Prescriber Accountholder's own DEA number for a set time period.

3.5 Inter-Account User Communication

a) Prescribers and Dispensers shall have the capability to correspond with one another within the system, albeit only so long as the communication is limited to those mutually involved in the care of a given patient (i.e. there should not be a system that only allows information to be broadcast en masse). In addition, Prescribers and Dispensers shall have the opportunity to opt out of receiving inter-account communication during the initial registration process.

b) Users shall be given the opportunity to attach and send along a copy of an Rx History Report within the system. A validation prompt with instructions and policies regarding the sharing of reports shall be presented to the user before their correspondence can be sent.

3.6 New User Account Creation

a) The PMP system must contain an online automated registration form for new users to complete and request access to the program.

b) All variants of the registration form shall contain the following profile fields:

1. Last, First and Middle Name
2. Organization
3. Occupation

4. User Job
5. Specialty Care
6. Date of Birth
7. Last 4 Digits of Social Security Number
8. Contact Information: Address; City, State, Zip, Work Phone, Fax Number, Home Phone, Cell Phone, Pager Number
9. Personal E-mail Address
10. Security Questions
11. Reason for Registration

c) Some fields in the registration form may be unique to a particular user job type:

1. Administrator/INSPECT staff: Drivers license number
2. Dispenser account: Professional license number
3. License Board Account: Drivers license number
4. Prescriber account: DEA number and license number
5. Upload account: NABP number
6. Law Enforcement account: Drivers license number or law enforcement ID number.

d) Security protocols are required for the authentication of resetting users' passwords. Examples, of such, protocol would be the listing of security questions.

1. What are the last four digits of your social security number?****
2. What is your date of birth?

e) The registration page shall contain disclaimer and policy language that registrants must acknowledge reviewing and understanding before proceeding with signing up for the INSPECT program. Once the registrant acknowledges and agrees to adhere to the policy a summary of the policy will be sent to all e-mail(s) associated to that address.

3.7 User Initiated Password Reset

a) A link will be provided on the home login screen that will direct the end-user to a page that permits them to change their password.

b) The end user shall have the ability to reset their own passwords by answering a set of security questions (provided by the user during the registration process).

c) Upon completion of the security questions, the user will be permitted to enter into the system and immediately prompted to change their password.

d) End-users will be required to reset their passwords at least twice per year.

SEGMENT 4: ADMINISTRATOR ACCOUNT FEATURES

4.1 Compliance Monitoring

In an effort to monitor adherence to INSPECT's reporting requirements, administrator accountholders must be capable of generating customizable reports summarizing upload account activity.

a) The system shall generate reports reflecting pharmacies that have reported for specific periods of time, as well as pharmacies that are delinquent in reporting.

b) User profiles shall contain a field for notes that only INSPECT Administrators can edit and view.

4.2 Password Management

The PMP system shall include a Password Management System that allows Administrators easy access to all registered account usernames and passwords.

a) INSPECT Administrators shall be able to review the actual text for password resets instead of the security dots●●●●●●●.

b) INSPECT Administrators shall see the end users previous passwords.

c) INSPECT Administrators shall be able to note and view reasons for registrations application denial.

4.3 Review and Approval of New User Registrations

Every completed new account registration application will come to Administrators for review and ultimate approval.

4.4 Communication with Users and Up loaders

The INSPECT Administrator shall have the capability to submit mass communication messages to users based on region (county and zip code), organization, last/first name, and user job type.

SEGMENT 5: INTEROPERABILITY FEATURES

5.1 Interoperability

The issue of multi-state doctor shopping has been identified as a serious national issue, and the Federal Bureau of Justice Assistance (INSPECT's primary source of funding) has continually stressed interstate sharing of PMP data.

5.2 Compatibility with PMIX Hub

An organization known as Integrated Justice Information Systems (or IJIS) has already successfully developed a solution for interstate data collection and sharing, known as the interstate PMP information exchange project (PMIX). The system must be capable of supporting IJIS PMP Information Exchange (PMIX) Hub Information Exchange Package Document (IEPD). This technology shall allow Indiana to share data on a national level.

*** When preparing your proposal, please address each of the above technical items as well as each of the following compliance, implementation and competency items.**

STATE TECHNICAL COMPLIANCE INFORMATION

I. Architecture

Describe the architecture that was used to develop and will be used to maintain the application. This includes, but is not limited to, to the operating system, development tools and database management system.

Verify that your application conforms to all State (IOT) policies, standards and guidelines. Specifically, validate that the application conforms to the Assistive Technology Policy (Section 508) by submitting a Voluntary Product Accessibility Template (VPAT) attached to this RFP.

II. Hardware/Software Requirements

Provide the minimum hardware and software configurations, including operating systems, required for the software application to run. This should include both the client and the server environments.

III. State Security Requirements

Provide your security policy to meet established criteria for security for information handling and for the database maintained by the State, including appropriate encryption technology or other appropriate technology to protect the security of information. In addition, verify that your company will be able to conform to the security and authentication requirements laid out in the National All Schedules Prescription Electronic Reporting of 2005 Act Program Grants (NASPER) and to the State's Security Policy (See attached Information Security Framework Document).

IV. Risk Mitigation

Provide your disaster recovery and/or business continuity plans. Companies must be able to establish a process for implementing a proactive risk management plan as part of the overall management of the Prescription Monitoring Program.

Risk Management is a continuous, forward-looking process that addresses issues that could endanger achievement of critical objectives and/or the existence of the program and includes

early and aggressive risk identification through the collaboration and involvement of relevant stakeholders.

This section should provide detailed description of your plan for the categories listed below:

- Identify how your company will handle project risks, both technical and non-technical, before they become problems and cause serious cost, schedule, or performance impacts.
- Describe your business contingency plan to occurrences such as power outages, natural disasters, virus attacks and other acts of cyber terrorism, loss of data, buildings or staff.
- Identify if your software product has known vulnerabilities.
- Describe your history in responding to security flaws discovered in your software product.
- Identify if your software product has critical security dependencies with other products.
- In the event your company files bankruptcy. Identify if the ownership of software materials would be transferred to the INSPECT program.

IMPLEMENTATION INFORMATION

I. Project Plan

Please submit a project plan. The project plan should include timelines and the resource or role responsible for completing each task. Deliverables should be identified in the project plan. This project plan will not need to be as detailed as the one created when the project is initiated. There should, however, be enough detail to demonstrate a reasonable approach and timeframe.

II. Deliverables

Please describe the deliverables from the customization project.

III. State Responsibilities during Implementation

What will be required from the State to successfully develop, customize and maintain the application? Provide an estimate as to the number of hours you the vendor are dedicated to providing. Hardware and software that is not specifically identified in the Hardware/Software Requirements section should be outlined here as well.

IV. Change Control Process

During the development or customization effort, requirements may be added or modified. It is critical to the success of the project to document and approve all changes in a predefined process. The change control process should include a method for establishing priorities and allocating resources. Please provide a description of your change control process including any forms.

COMPETENCY INFORMATION

I. Description of Firm's Experience (Resumes of Key Staff)

Please provide resumes of current staff that would be working on the project. Please detail your company's experience and the length of time developing or customizing applications and to how many customers.

2.5 COST PROPOSAL

A total project cost shall be clearly indicated. Respondents shall divide their cost proposals as follows:

1. License fee
   Updates and revisions; new releases

2. Installation, configuration, and deployment
   Updates and revisions; new releases

3. Annual support
   Provide a break down of services included

- Cost proposals shall also address enhancement requests.

- Travel expenses and mileage will not be paid separately by the State.

2.6 INDIANA ECONOMIC IMPACT

All companies desiring to do business with state agencies must complete an "Indiana Economic Impact" form (Attachment C). The collection and recognition of the information collected with the Indiana Economic Impact form places a strong emphasis on the economic impact a project will have on Indiana and its residents regardless of where a business is located. The collection of this information does not restrict any company or firm from doing business with the state.

2.7 BUY INDIANA INITIATIVE/INDIANA COMPANY

It is the Respondent's responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to http://www.in.gov/idoa/2742.htm and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.
Respondents that have not previously registered with IDOA must go to http://www.in.gov/idoa/2742.htm and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business' status. The registration process should be complete at the time of proposal submission.

Defining an Indiana Business:

"Indiana business" refers to any of the following:

(1) A business whose principal place of business is located in Indiana.
(2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
(3) A business that employs Indiana residents as a majority of its employees.

Respondents claiming this status must indicate which of the provisions above qualifies them as an Indiana business. They must also fully complete the Indiana Economic Impact Form (Attachment C) and include it with their response.

The following is the policy concerning items 4 & 5 described below. Appropriate documentation must be provided with your proposal response supporting either claim made below:

(4) A business that makes significant capital investments in Indiana.
(5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:
Any company that can demonstrate a minimum capital investment of $5 million or more in plant and/or equipment or annual lease payments of $2.5 million or more shall qualify as an Indiana business under category #4. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

Substantial Indiana Economic Impact:
Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under category #5. If a Respondent needs assistance in determining if its business qualifies under this criterion, please send an email inquiry to buyindianainvest@idoa.in.gov and you will receive a response within forty-eight (48) hours. If an out of state company does not meet one of these criteria, it can submit documentation/justification to the State for review for inclusion under this category.

SECTION THREE
PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.

3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.

3.1.3 If technical proposals are close to equal, greater weight may be given to price.

3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and IPLA for further action, such as contract negotiations. If, however, IDOA and IPLA decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 100). If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

Summary of Evaluation Criteria:

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	35 Points
3. Cost (Cost Proposal)	20 Points
4. Indiana Economic Impact	15
5. Buy Indiana	10
6. Minority (10) and Women Business (10) Subcontractor Commitment	20
Total	**100**

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 55 points. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a "short list". Any proposal not making the "short list" will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions focused on cost and other proposal elements.

Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

3.2.1 Adherence to Requirements – Pass/Fail

3.2.2 Management Assessment/Quality - 35 points

3.2.3 Price – 20 points

3.2.4 Indiana Economic Impact (15 points)

See Section 2.6 for additional information.

The total number of full time equivalent (FTE – please see Section 1.2 for a definition of FTE's) Indiana resident employees for the Respondent's proposal (prime contractor and subcontractors) will be used to evaluate the Respondent's Indiana Economic Impact. Points will be awarded based on a graduated scale. The Respondent with the most Indiana FTEs will be awarded 15 points. Points will then be awarded to the remaining Respondents proportionately.

3.2.5 Buy Indiana Initiative – 10 points
Respondents qualifying as an Indiana Company as defined in Section 2.7 will receive 10 points in this category.

3.2.6 Minority (10 points) & Women's Business (10 points) Subcontractor Commitment - (20 points).

The following formula will be used to determine points to be awarded:

The commitment factor for each proposal will be calculated by multiplying the commitment percentage by one hundred. The RFP score ration will be determined by dividing the maximum allowable points by the highest commitment factor. The proposal with the highest commitment factor will be given the maximum allowable points. The points awarded to the other proposals will be calculated by multiplying the score ratio by the proposed commitment factor.

Commitment percentage * 100 = commitment factor
Maximum allowable points/highest commitment factor = score ratio
Commitment factor * score ratio = points awarded

The Commissioner of IDOA or his designee will, in the exercise of his sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.